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Archived Information

APPLICATION PACKAGE

Smaller Learning Communities FY 2004

Special Competition:
***Enhanced Reading Opportunities
in Freshman Academies***

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- a. Application Cover Page (ED 424)
- b. SLC program grant application coversheet
- c. Budget Information, Non-construction Programs (ED 524)
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- e. Assurances: Non-construction Programs (SF 424B)
- f. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
- g. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)
- h. Disclosure of Lobbying Activities (Form LLL)
- i. Survey on Ensuring Equal Opportunity for Applicants

Note: Copies of the forms listed above are also available at the U.S. Department of Education's Web site at <http://ocfo.ed.gov/grntinfo/appforms.htm>.

1. The Smaller Learning Communities program, *Special Competition*:

This application package is for a special competition under the Smaller Learning Communities (SLC) program that will award funds to local education agencies ***not only*** to create and expand SLC projects, ***but also*** to implement promising supplemental reading programs within freshman academy SLCs – ***and*** to participate in a national evaluation of supplemental reading programs.

One of the greatest challenges our high schools face is the significant number of young people who enter 9th grade reading two to four years below grade level. We know that we must do something dramatically different during 9th grade to help these students catch up quickly and acquire the reading skills they need to succeed in high school. There are a growing number of programs and interventions that are being marketed to high schools that claim to make a powerful difference in boosting the literacy skills of these striving ninth-grade readers. Yet there is little or no scientific evidence that school leaders and educators can consult to evaluate these claims. Through this special competition, the Department of Education seeks to partner with interested school districts and high schools that are implementing freshman academies in a national, scientifically-based research study that will improve our now-limited knowledge of how we can most effectively help at-risk young people who enter high school with limited literacy skills.

This competition offers eligible school districts and high schools several important opportunities:

- Financial support, technical assistance, and professional development to implement classroom-based, supplemental reading programs that an independent panel of nationally-recognized experts in adolescent literacy has identified as the most promising among the programs currently available.
- Significant financial support to create or expand SLC activities; and
- A leadership role in a national effort to identify effective approaches for improving the literacy skills of students who enter high school reading two to four years below grade level.

There will be an informational
WEB TELECONFERENCE
THURSDAY, APRIL 7, at 1:30 PM, EST.

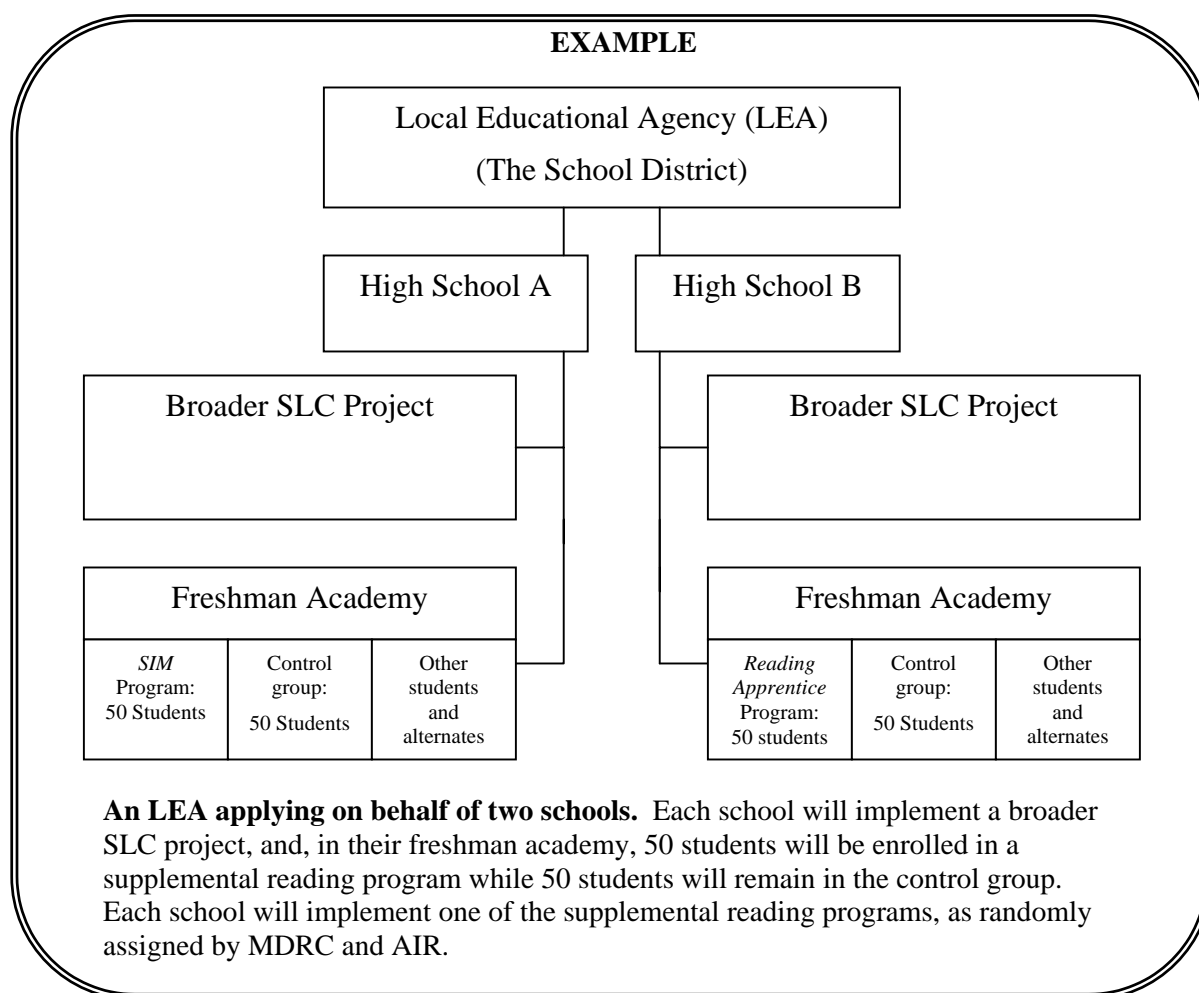
To listen in, call **1 - (888) – 311 - 9051**
And enter participant code **2231800**

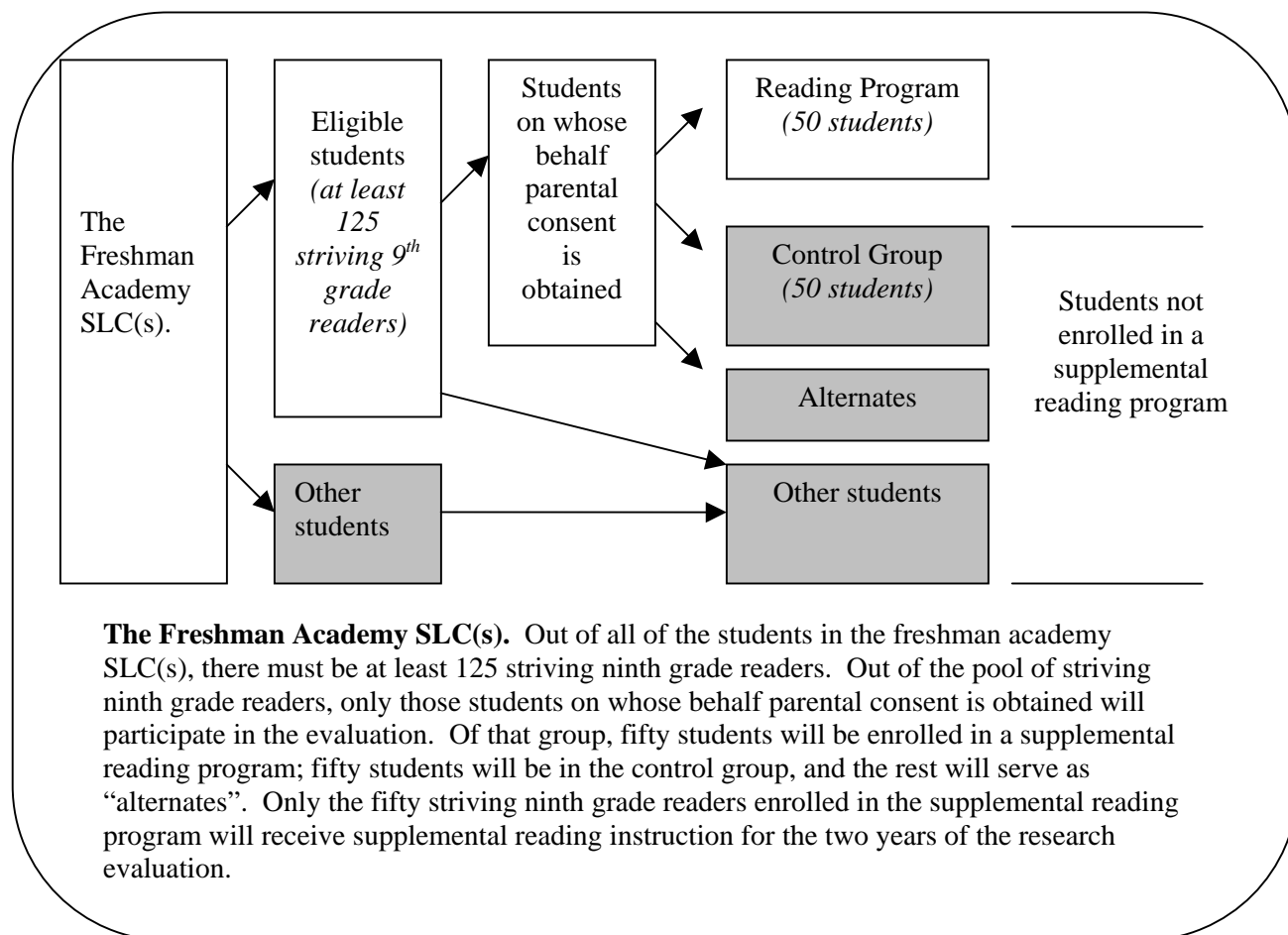
To see a streaming presentation and submit
questions during the teleconference
go to **<http://www.vodiumconference.com>**
Enter the GUEST LOGIN: **2231800**

- Enter your name, school or district name, and email address
- Click the “Log In” button

The SLC Special Competition at a glance:	
Award Amount	The maximum award amount is \$1,250,000 per school, meaning that local education agencies applying on behalf of four schools could receive \$5,000,000.
Project Period	Five years (the first two of which will involve participation in the supplemental reading program evaluation)
Eligibility Requirements	<p>Complete eligibility requirements are listed and explained, beginning on page 11 of this application package, and include the following:</p> <p>Applicants must be local educational agencies (LEAs), and apply on behalf of two or four large public high schools that:</p> <ul style="list-style-type: none"> • Are implementing at least one freshman academy smaller learning community during the 2004-5 school year (and will continue to do so through the 2006-7 school year). • Are not currently implementing a classroom-based supplemental reading program for striving ninth-grade readers, in the 2004-5 school year (see definition supplemental reading programs on page 21). • May or may not be a current or previous SLC grant recipient. • Provide evidence that a minimum of 125 striving ninth-grade readers were enrolled at the school during each of the 2003-4 and 2004-5 school years.. <p>(PLEASE SEE COMPLETE ELIGIBILITY REQUIREMENTS BEGINNING ON PAGE 11)</p>
Special Requirements for Participation in the Research Evaluation	<p>Complete requirements are listed and explained in sections beginning on pages 14 and 18 of this application package, and include the following:</p> <p>In order to participate, each school must agree to:</p> <ul style="list-style-type: none"> • Implement the supplemental reading program, as assigned by the Department of Education, adhering strictly to the design of the program, including purchasing all necessary instructional materials, technology, professional development, and student materials in sufficient time for the program to be implemented at the start of the 2005-6 and 2006-7 school years. • Use a lottery to randomly assign 50 of the 125 eligible students to participate in the supplemental reading class, and the remainder to serve as non-participants • Designate a language arts or social studies teacher from each participating high school to receive professional development in the assigned supplemental reading program, and to teach the program to the participating students for a minimum of 225 minutes per week for each week of the 2005-6 and 2006-7 school years. <p>(PLEASE SEE COMPLETE PROGRAM REQUIREMENTS IN SECTIONS BEGINNING ON PAGES 14 AND 18)</p>

The Supplemental Reading Programs	<p>Each school will implement one of these two comprehensive supplemental reading programs, as assigned by the Department of Education, following the guidelines of the research study:</p> <ul style="list-style-type: none"> • <i>The Strategic Instruction Model (SIM)</i>, from the University of Kansas http://www.kucrl.org/iei/sim/ • <i>Reading Apprenticeship</i>, Strategic Literacy Initiative, WestEd http://www.wested.org/cs/sli/print/docs/sli/home.htm <p>More information on these reading programs is included, starting on page 43</p>
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Background Information:

The Department's Institute of Education Sciences (IES) has awarded a contract to MDRC and the American Institutes of Research (AIR) to conduct this evaluation of supplemental reading programs. AIR solicited proposals from vendors of classroom-based supplemental reading programs that wish to participate in this initiative. MDRC and AIR convened an independent panel of experts on adolescent literacy in January 2005 to evaluate the programs submitted for consideration. The panel assessed particularly the extent to which a program incorporates the features judged by experts in the field to be indicative of a high-quality adolescent reading program and the extent to which there is research-based evidence of the program's effectiveness.

Based on the recommendations of this panel, two promising programs have been selected for evaluation through this initiative. These programs are (1) Strategic Instruction Model, from the University of Kansas's Center for Research on Learning (<http://www.ku-crl.org/iei/sim/index.html>), and (2) Reading Apprenticeship, from the Strategic Literacy Initiative at WestEd (<http://www.wested.org/cs/we/view/pj/179>). Both programs are appropriate for meeting the needs of ninth-grade students who are reading two to four years below grade level. They both provide instruction in advanced decoding skills, vocabulary, comprehension, writing, and metacognition. Both give students opportunities to read a wide range of material and prepare them for the demands of work in other content areas.

Interested LEAs that are selected to participate in this initiative will implement the supplemental reading programs during the 2005-06 and 2006-07 school years in high schools that have established freshman academy SLCs. Each participating high school will be randomly assigned one of the two programs to implement. The programs will serve ninth-grade students whose reading skills are two to four years below grade level. Working with MDRC and AIR, the contractors selected by the Department, each high school will select by lottery approximately 50 students from a pool of a minimum of 125 eligible ninth-grade students enrolled in a freshman academy to participate in the supplemental reading program; the remaining students will continue in their elective course, study hall, or other activity in which they would otherwise participate. The evaluators will work with each LEA and high school to assess the effectiveness of the supplemental reading program with two consecutive cohorts of ninth-grade students: students who enter the 9th grade in 2005-6 and students who enter ninth grade in 2006-7. After the completion of the 2006-07 school year, participating high schools will have gained valuable data about the effectiveness of these supplemental reading programs in their schools. These data will help them to decide whether to expand the supplemental reading program to include all eligible students, or to select and implement another supplemental reading program.

The Department will award 60-month grants. In addition to supporting the other broader SLC activities at each participating high school, each grant will fully fund the costs of implementing the supplemental reading program, technical assistance from the program vendor, and the cost of participating in the evaluation.

The evaluation will provide researchers, policy-makers, school administrators, teachers, and parents throughout the United States important information about these supplemental reading programs and adolescent literacy development, and answer three important questions:

- (1) Do specific supplemental literacy programs that support personalized and intensive instruction for striving ninth-grade readers significantly improve reading proficiency?
- (2) What are the effects of supplemental reading programs on in-school outcomes such as attendance and course-taking behavior, and on longer-term outcomes such as student performance on State assessments in the tenth or eleventh grade?
- (3) Which students benefit most from participation in the programs?

LEAs and participating high schools would benefit in a number of ways from partnering with the Department in this initiative. They would make an important contribution to improving our now-limited knowledge of how we can help most effectively at-risk young people who enter high school with limited literacy skills. They would receive grant funds to support the implementation of a promising supplemental reading program and high-quality professional development for the teachers who will provide instruction. After the second year of the grant, once the two-year period of supplemental reading program implementation has been completed, participating schools would be free to expand the program to include all eligible students or implement a new program, if they choose. Finally, they would receive funds to support a broader SLC project that expands or creates new SLC structures and strategies in participating high schools. Those funds would be available for use throughout the 60-month grant period.

a. Who is eligible to receive a grant?

To be considered for funding, an applicant must be an LEA, including schools funded by the Bureau of Indian Affairs (BIA schools) and educational service agencies, that applies on behalf of two or four large high schools that have implemented, and continue to implement, at least one freshman academy SLC by no later than the 2004-2005 school year.

An educational service agency is only eligible if it can show in its application that the entity or entities with governing authority over the eligible high schools on whose behalf the educational service agency is applying supports the application.

LEAs must identify in their applications the names of the two or four large high schools proposed to participate in the research evaluation, the number of students currently enrolled in each school, disaggregated by grade level, and the number enrolled in freshman academies. We will not accept applications from LEAs on behalf of one, three, or more than four schools. We require that each school include grades 11 and 12 and have an enrollment of 1,000 or more students in grades 9 through 12.

Enrollment figures must be based upon data from the current school year or data from the most recently completed school year. We will not accept applications from LEAs applying on behalf of schools that are being constructed and do not have an active student enrollment at the time of application.

The LEA also must provide an assurance that each of the schools identified in its application: (1) is implementing at least one freshman academy SLC during the 2004-05 school year; (2) will continue to implement at least one freshman academy SLC during the 2005-06 and 2006-07 school years; and (3) did not implement a classroom-based supplemental reading program, as defined elsewhere in this notice, for striving ninth-grade readers during the 2004-05 school year. For each school identified in the application, LEAs also must provide evidence that a minimum of 125 striving ninth-grade readers (as defined elsewhere in this notice) were enrolled at the school during each of the 2003-04 and 2004-05 school years. Students with learning disabilities may be included among the pool of striving ninth-grade readers if they do not receive other intensive supplemental literacy instruction outside of the regular English/language arts classroom, and otherwise meet the definition of striving ninth-grade readers stated elsewhere in this notice. We will accept applications from LEAs whether or not they are applying on behalf of schools that have previously received funding under the Federal SLC program or that are currently receiving funding under the Federal SLC program. Eligible schools would be those currently implementing freshman academy SLCs, though the freshman academies need not have been funded through a prior Federal SLC grant.

b. What will be the time period, size and number of grants?

LEAs may receive up to \$1,250,000 per school during the 60-month project period. This is an increase from the maximum range of awards (\$550,000 to \$770,000) that we established in the previous SLC program competitions, plus an additional \$250,000 to cover additional expenses related to participation in the research evaluation during the first two years of the project period.

In its budget calculations, each school must reserve \$150,000 for implementation of the supplemental reading program during the 2005-06 school year and \$100,000 for the implementation of the program during the 2006-07 school year. Of this amount, approximately \$25,000 must be reserved the first year, and \$15,000 must be reserved the second year, to cover materials and support provided by the supplemental reading program developers. These funds will also support the salary and benefits of one

full-time-equivalent teacher who will be responsible for providing the supplemental reading program instruction and performing administrative functions related to the conduct of the research evaluation, professional development, technical assistance provided by the program developer, and the purchase of curriculum materials and the technology necessary to deliver instruction. The remaining \$1,000,000 will be available to support other activities related to the creation or expansion of SLCs in the school. Funds may also be used to support the expansion of the supplemental reading program to all eligible students, or to implement a new supplemental reading program after the second year of the project period. For one application, LEAs may receive up to \$5,000,000, if applying on behalf of four schools. Grants will support participation in the research evaluation over the first two years of the project period, and a broader SLC project, including such activities as extensive redesign and improvement efforts, professional development, or direct student services, over five years.

Applicants are required to provide detailed, yearly budget information for the total grant period requested. Understanding the unique complexities of implementing a program that affects a school's organization, physical design, curriculum, instruction, and preparation of teachers, we anticipate awarding the entire amount at the time of the initial award.

The actual size of awards will be based on a number of factors. These factors include the scope, quality, and comprehensiveness of the proposed program and the range of awards indicated in the application notice.

c. What activities are allowable?

Examples of activities that may be conducted as part of the broader SLC project using funds from these grants include—

- (1) Implementing and expanding strategies for creating the smaller learning community or communities within the designated large high schools;
- (2) Implementing and expanding complementary personalization strategies as well as effective and innovative changes in curriculum and instruction, geared to high State content standards and academic achievement standards within the designated large high schools;
- (3) Providing professional development for school staff as it relates to the needs of the staff and the goals of the smaller learning communities;
- (4) Involving parents, business representatives, local institutions of higher education, community-based organizations (including faith-based organizations), and other community members in the smaller learning communities, as facilitators of activities that promote the schools' goals, as well as to provide links between students and their community;
- (5) Obtaining the services of outside experts in the implementation of the smaller learning community. Assistance may include curriculum development, leadership strategies, community consensus building, data collection, or evaluation design; and
- (6) Providing stipends and release time for teachers, administrators, and community members involved in the implementation or expansion of the smaller learning community.

d. What priorities apply to this program?

ABSOLUTE PRIORITY: For this special competition, we will consider only applications that meet this absolute priority:

Participation in a National Research Evaluation That Assesses the Effectiveness of Supplemental Reading Programs in Freshman Academies

To be eligible for consideration under this priority, an applicant must—

(1) Apply on behalf of two or four large high schools that are currently implementing freshman academies;

(2) Provide a detailed description of literacy classes and/or other activities implemented within the last two years that were designed to promote the reading achievement of striving ninth-grade readers (as defined elsewhere in this notice) at any of the schools on behalf of which the LEA has applied;

(3) Provide documentation of the LEA's and schools' willingness to participate in a large-scale national evaluation that uses scientifically based research methods. Each LEA must include in its application a letter from its superintendent and the principals of the high schools named in the application, agreeing to meet the requirements of the research design, and each LEA must include in its application a letter from its research office or research board agreeing to meet the requirements of the research design, if such approval is needed according to local policies;

(4) Agree to implement two designated supplemental reading programs for striving ninth-grade readers, one in each eligible high school, adhering strictly to the design of the reading program, with the understanding that the supplemental reading program will be either the Strategic Instruction Model or Reading Apprenticeship Academic Literacy, as assigned to each school by the evaluation contractor;

(5) Assign a language arts or social studies teacher, providing his or her name, resume, and a signed letter of interest, in each participating high school to: (a) participate in professional development necessary to implement the supplemental reading program (which will include travel to Washington D.C., or another off-site location during the first two weeks in August of 2005); (b) teach the selected supplemental reading program to participating students for a minimum of 225 minutes per week for each week of the 2005-2006 and 2006-07 school years; (c) complete two surveys; (d) assist with the administration of surveys and student assessments; (e) work with the LEA, school officials, MDRC, and AIR to recruit 125 or more students for the program and the larger research evaluation; (f) determine students' eligibility to participate in the research evaluation, with the guidance of the evaluation contractor; and (g) work with the LEA, school officials, MDRC, and AIR to obtain parental consent for students to participate in assessments and other data collections;

(6) Designate a substitute or replacement teacher in the event that the teacher of the supplemental reading program takes a leave of absence, resigns, or is otherwise unwilling or unable to participate; and

(7) Agree to provide, prior to the start of school years 2005-06 and 2006-07, for each participating high school, a list of at least 125 striving ninth-grade readers who are eligible to participate in the research evaluation; work with the contractor to assign by lottery 50 of those students in each participating high

school to the supplemental reading program and assign the remaining students to other activities in which they would otherwise participate, such as a study hall, electives, or other activity that does not involve supplemental reading instruction; provide students selected for the supplemental reading program with a minimum of 225 minutes per week of instruction in the supplemental reading program for each week of the school year; and allow enough flexibility in the schedules of all eligible students so that students who are not initially selected by lottery to participate in the supplemental reading program may be reassigned, at random, to the program if students who were initially selected for the program transfer to another school, drop out, or otherwise discontinue their participation in supplemental reading instruction during the school year.

The Secretary will fund only applicants that meet this absolute priority and that meet all of the other requirements for this competition described elsewhere in this application package.

COMPETITIVE PREFERENCE PRIORITY: For this special competition, we will award additional points to applications that meet this priority.

Number of Schools

The Secretary gives priority to applications from LEAs applying on behalf of four high schools that are implementing freshman academies and that commit to participate in the research evaluation.

In addition to the points to be awarded under the selection criteria, the Secretary will award 25 additional points to an application from an LEA applying on behalf of four high schools.

2. Application Requirements

a. What special requirements are related to participation in the national research evaluation?

We require each applicant to provide an assurance that it and each participating high school will take several actions to assist in implementing the research evaluation, including:

(1) The LEA and the participating high schools must implement the supplemental reading program adhering strictly to the design of the program, including purchasing all necessary instructional materials, technology, professional development, and student materials in sufficient time for the program to be implemented at the start of the 2005-06 and 2006-07 school years and in sufficient quantity to serve approximately 50 students each year.

(2) The LEA and the participating high school(s) must agree to allow a contractor to use a lottery to assign randomly 50 of the expected 125 or more students determined to be eligible to participate in the supplemental reading class and the remainder to serve as non-participants.

(3) The LEA must provide a language arts or social studies teacher for each participating high school who will receive professional development in the supplemental reading program (five days during

summer 2005 and at least two follow-up days during each of the 2005-2006 and 2006-2007 school years), assist the contractor in recruiting and determining the eligibility of students, and teach the supplemental reading program to the participating students for a minimum of 225 minutes per week for each week of the 2005-2006 and 2006-07 school years. This teacher is required to complete two brief surveys (at the beginning and end of the 2005-2006 and 2006-2007 school years) to provide information on his or her preparation, professional development, and experiences.

(4) The LEA must agree to work jointly with the contractor to administer a diagnostic group assessment of reading skills at the beginning and the end of the ninth-grade year to assess whether or not those students participating and not participating in the supplemental reading program have made gains in reading skills. This reading assessment might also need to be administered again at the end of the tenth-grade year.

(5) The LEA must provide transcripts and State assessment data for the entire pool of eligible students for the 2004-5, 2005-06, 2006-07, 2007-08, and 2008-09 school years, in a manner and to the extent consistent with the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. 1232g; 34 CFR part 99).

(6) The LEA must designate a project coordinator who will be eligible to participate in the professional development and serve as a resource and coordinator for teachers involved in the research study. This project coordinator must also work with the LEA's technology office (if necessary) and the curriculum developers to organize the purchase of computer equipment and software needed to implement the supplemental reading program. The project coordinator may not be the language arts or social studies teacher responsible for teaching the supplemental reading program.

(7) The LEA and participating high schools must allow enough flexibility in developing the participating students' daily schedules to accommodate the supplemental reading program, which can be implemented either in a 45-minute language arts period or through a larger period of 90 minutes, depending on the schools' scheduling.

(8) The LEA and participating high schools must allow the evaluation team to observe both the classrooms implementing the supplemental reading program and other English or language arts classrooms in the school.

b. What selection criteria apply to this competition?

The Department will use five (5) criteria to evaluate applications. The relative weights for each criterion are indicated in parentheses. Our intent in this section is to identify the selection criteria and help applicants understand how they will be applied during the review process. A peer review panel will carefully review the applications. Each panelist will evaluate the applications against the criteria listed below. The panel results are advisory in nature and not binding on the Secretary. The Secretary will use the following selection criteria and associated point values in evaluating applications:

- (1) The maximum score is 125 points – 100 points from the selection criteria below, and 25 points from the competitive preference priority listed above.
- (2) The maximum score for each criterion is indicated in parentheses.

Need for Participation in the Supplemental Reading Program (10 points).

In determining the need for participation in the supplemental reading program, we will consider the extent to which the applicant will--

(1) Involve schools that have the greatest need for assistance as indicated by such factors as: student achievement scores in English or language arts; student achievement scores in other core curriculum areas; enrollment; attendance and dropout rates; incidents of violence, drug and alcohol use, and disciplinary actions; percentage of students who have limited English proficiency, come from low-income families, or are otherwise disadvantaged; or other need factors as identified by the applicant (7 points); and

(2) Address the needs it has identified in accordance with paragraph (1) through participation in the supplemental reading program activities (3 points).

Foundation for Implementation of the Supplemental Reading Program (50 points).

In determining the foundation for implementation of the supplemental reading program, we will consider the extent to which--

(1) Administrators, teachers, and other school staff within each school support the school's proposed involvement in the supplemental reading program and have been and will continue to be involved in its planning, development, and implementation, including, particularly, those teachers who will be directly affected by the proposed project, as evidenced in part by a letter of interest from the language arts or social studies teacher who will teach the supplemental reading program (15 points);

(2) Parents, students, and other community stakeholders support the proposed implementation of the supplemental reading program and have been and will continue to be involved in its planning, development, and implementation (3 points);

(3) The proposed implementation of the supplemental reading program is consistent with, and will advance, State and local initiatives to increase student achievement and narrow gaps in achievement between all students and students who are economically disadvantaged, students from major racial and ethnic groups, students with disabilities, or students with limited English proficiency (4 points);

(4) The applicant demonstrates that it has carried out sufficient planning and preparatory activities, outreach, and consultation with teachers, administrators, and other stakeholders to enable it to participate effectively in the supplemental reading program at the beginning of the 2005-6 school year (5 points);

(5) The applicant articulates a plan for using information gathered from the evaluation of the supplemental reading program to inform decision and policymaking at the LEA and school levels (3 points); and

(6) The applicant, in its description of literacy classes and/or other activities (implemented, within the last two years, at each of the high schools on behalf of which the LEA is applying in this competition) that were designed to promote the reading achievement of striving ninth-grade readers, demonstrates that those activities will not affect the outcomes of the research evaluation, and that the ninth-grade teachers in each school have not previously received professional development in either the Strategic Instruction Model, Reading Apprentice Academic Literacy, or a similar supplemental reading program (20 points).

Quality of the Project Design for the Broader SLC Project (15 points).

In determining the quality of the project design for the broader SLC project we will consider the extent to which--

(1) The applicant demonstrates a foundation for implementing the broader SLC project, creating or expanding SLC structures or strategies in the school environment, including demonstrating--

(A) That it has the support and involvement of administrators, teachers, and other school staff;

(B) That it has the support of parents, students, and other community stakeholders;

(C) The degree to which the proposed broader SLC project is consistent with, and will advance, State and local initiatives to increase student achievement and narrow gaps in achievement; and

(D) The degree to which the applicant has carried out sufficient planning and preparatory activities to enable it to implement the proposed broader SLC project at the beginning of the 2005-6 school year (5 points);

(2) The applicant will implement or expand strategies, new organizational structures, or other changes in practice that are likely to create an environment in which a core group of teachers and other adults within the school know the needs, interests, and aspirations of each student well, closely monitor each student's progress, and provide the academic and other support each student needs to succeed (5 points); and

(3) The applicant will provide high-quality professional development throughout the project period that advances the understanding of teachers, administrators, and other school staff of effective, research-based instructional strategies for improving the academic achievement of students, including, particularly, students with academic skills that are significantly below grade level; and provide the knowledge and skills they need to participate effectively in the development, expansion, or implementation of a SLC (5 points).

Quality of the Management Plan (15 points).

In determining the quality of the management plan for the proposed project, we consider the following factors—

(1) The adequacy of the proposed management plan to allow the participating schools to implement effectively the research evaluation and broader SLC project on time and within budget, including clearly defined responsibilities and detailed timelines and milestones for accomplishing project tasks (3 points);

(2) The extent to which time commitments of the project director and other key personnel, including the teachers who will be responsible for providing instruction in the supplemental reading program, are appropriate and adequate to implement effectively the supplemental reading program and broader SLC project (2 points);

(3) The qualifications, including relevant training and experience, of the project director, program coordinator, and other key personnel who will be responsible for implementing the broader SLC project (3 points);

(4) The qualifications, including relevant training and years of experience, of the teachers who will be responsible for providing instruction in the supplemental reading program, as indicated by a resume and signed letter of interest (4 points); and

(5) The adequacy of resources, including the extent to which the budget is adequate, the extent to which the budget provides sufficient funds for the implementation of the supplemental reading program, and the extent to which costs are directly related to the objectives and design of the research evaluation and broader SLC activities (3 points).

Quality of the Broader SLC Project Evaluation (10 points).

In determining the quality of the broader SLC project evaluation to be conducted on the applicant's behalf by an independent, third-party evaluator, we consider the following factors--

(1) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed broader SLC project (2 points);

(2) The extent to which the evaluation will collect and annually report accurate, valid, and reliable data for each of the required performance indicators, including student achievement data that are disaggregated for economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, and students with limited English proficiency (2 points);

(3) The extent to which the evaluation will collect additional qualitative and quantitative data that will be useful in assessing the success and progress of implementation, including, at a minimum, accurate, valid, and reliable data for the additional performance indicators identified by the applicant in the application (2 points);

(4) The extent to which the methods of evaluation will provide timely and regular feedback to the LEA and the school on the success and progress of implementation and will identify areas for needed improvement (2 points); and

(5) The qualifications and relevant training and experience of the independent evaluator (2 points).

c. Additional application requirements

- **School Report Cards**

We require that LEAs provide, for each of the schools included in the application, the most recent "report card" produced by the State or the LEA to inform the public about the characteristics of the school

and its students, including information about student academic achievement and other student outcomes. These "report cards" must include, at a minimum, the following information that LEAs are required to report for each school under section 1111(h)(2)(B)(ii) of the ESEA: (1) whether the school has been identified for school improvement; and (2) information that shows how the academic assessments and other indicators of adequate yearly progress compare to those of students in the LEA and the State, as well as performance of the school's students on the statewide assessment as a whole.

- **Consortium Applications and Governing Authority**

In an effort to encourage systemic, LEA-level reform efforts, we permit an individual LEA to submit only one application on behalf of multiple schools. Accordingly, the LEA is required to specify in its application which high schools would participate.

In addition, we require that an LEA applying for a grant under this competition apply only on behalf of a high school or high schools for which it has governing authority, unless the LEA is an educational service agency applying in the manner described in the section in this notice entitled Educational Service Agencies. An LEA, however, may form a consortium with another LEA with which it shares a geographical border and submit a joint application for funds. In such an instance, the consortium must apply on behalf of either two or four high schools and follow the procedures for group applications described in 34 CFR 75.127 through 75.129 in the Education Department General Administrative Regulations (EDGAR). For example, an LEA that wishes to apply for a grant but only has one eligible high school may partner with a neighboring LEA, if the neighboring LEA has another eligible high school.

- **Educational Service Agencies**

We permit an educational service agency to apply on behalf of eligible high schools only if the educational service agency includes in its application evidence that the entity or entities that have governing authority over each of the eligible high schools supports the application.

- **Student Placement within the Broader SLC Project**

Applicants must include in their applications a description of how students will be selected or placed in the broader SLC project such that students will not be placed according to skills or any other measure, but will be placed at random or by student/parent choice and not pursuant to testing or other judgments.

- **Performance Indicators for the Broader SLC Project**

We require applicants to identify in their applications specific performance indicators and annual performance objectives for these indicators and one core indicator. Specifically, we require applicants to use the following performance indicators to measure the progress of each school:

(1) The percentage of students who score at the proficient and advanced levels on the mathematics assessments used by the State to measure adequate yearly progress under part A of title I of the ESEA, as well as these percentages disaggregated by the following subgroups:

- (A) Major racial and ethnic groups.
- (B) Students with disabilities.
- (C) Students with limited English proficiency.
- (D) Economically disadvantaged students.

(2) At least two other appropriate indicators the LEA identifies, such as rates of average daily attendance, year-to-year retention, achievement and gains in English proficiency of limited English

proficient students; incidence of school violence, drug and alcohol use, and disciplinary actions; or the percentage of students completing advanced placement courses or passing advanced placement tests.

Applicants must identify annual performance objectives for each indicator in their application.

- **Evaluation of Broader SLC Projects**

We require each applicant to provide an assurance that it will support an evaluation of its broader SLC project that provides information to the project director and school personnel and that will be useful in gauging the project's progress and in identifying areas for improvement. Each evaluation must include an annual report for each of the five years of the project period and a final report to be completed at the end of the fifth year. We require grantees to submit each of these reports to the Department. We require that the evaluation be conducted by an independent third-party evaluator selected by the LEA whose role in the project is limited to conducting the evaluation.

- **High-Risk Status and Other Enforcement Mechanisms**

Because the requirements listed in this notice are material requirements, failure to comply with any requirement or with any elements of the grantee's application will subject the grantee to administrative action, including but not limited to designation as a "high-risk" grantee, the imposition of special conditions, or termination of the grant. Circumstances that might cause the Department to take such action include, but are not limited to: the grantee's failure to implement the designated supplemental reading programs in a manner that adheres strictly to the design of the program; the grantee's failure to purchase all necessary instructional materials, technology, professional development, and student materials in sufficient time for the programs to be implemented at the start of the 2005-06 and 2006-07 school years; and the grantee's failure to adhere to any requirements or protocols established by the evaluator.

d. Definitions

In addition to the definitions set out in the authorizing statute and 34 CFR 77.1, we propose that the following definitions also apply to this special competition. We may apply these definitions in any year in which we run an SLC supplemental reading program competition.

Broader SLC Project means an SLC project at the site of the high school aside from, and in addition to, that high school's implementation of a supplemental reading program and participation in the research evaluation.

Freshman Academy means a form of SLC structure that groups ninth-grade students into an environment in which a core group of teachers and other adults within the school knows the needs, interests, and aspirations of each ninth-grade student well, closely monitors each student's progress, and provides the academic and other support each student needs to transition to high school and succeed. Student enrollment in (or exclusion from) a freshman academy is not based on skills, testing, or measures other than ninth-grade status and student/parent choice or random assignment. A freshman academy differs from a simple grouping of ninth-graders in that it incorporates programs or strategies designed to ease the transition for students from the eighth grade to high school. A freshman academy may include ninth-grade students exclusively or it may be part of an SLC, sometimes called a "house," that groups together a small number of ninth- through twelfth-grade students for instruction by the same core group of academic teachers. The term freshman academy in this situation refers only to the ninth-grade students in the house.

Large High School means an entity that includes grades 11 and 12 and has an enrollment of 1,000 or more students in grades 9 and above.

Research Evaluation means the study of the effectiveness of supplemental reading programs that are implemented within freshman academies and that is being sponsored by the Department of Education.

Smaller Learning Community (or SLC) means an environment in which a core group of teachers and other adults within the school knows the needs, interests, and aspirations of each student well, closely monitors each student's progress, and provides the academic and other support each student needs to succeed.

Striving Ninth-Grade Readers means those students who are enrolled in the ninth grade and who read English at a level that is two to four grades below their current grade level, as determined by an eighth-grade standardized test of reading. The term includes those students with limited English proficiency who are enrolled in ninth grade, who read English at a level that is two to four grades below their current grade level, and who took the State's eighth-grade standardized reading or language arts assessment in English with minimal accommodations (defined as having the test directions read to them orally, having access during the test to a dictionary, and/or being able to take the test without a time limit).

Supplemental Reading Program means a comprehensive, full-year, classroom-based program that provides instruction for students reading two to four years below their grade level as a supplement to regular English language arts classes. After-school or summer enrichment classes are not considered to be supplemental reading programs. English language arts classes that are targeted toward struggling readers, but are not supplemental to another regular English language arts class, are not considered to be supplemental reading programs.

e. What regulations apply to this program?

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99; and (b) the regulations in the Notice of Final Priorities, Requirements, Definitions, and Selection Criteria for the special competition, fiscal year 2004, as published in the *Federal Register* on March 30, 2005.

3. Applying for the Grants

a. How to prepare an application

Carefully read the entire application package, the Notice of Final Priorities, and the Notice Inviting Applications before beginning to prepare an application. The application package clearly identifies who is eligible to apply under this competition, what applicants must propose to do, what must be contained in an application, and what criteria will be used to evaluate applications. Copies of the authorizing statute as well as supplementary materials describing how to plan and manage the Smaller Learning Communities grant are provided in this application package.

A completed application must contain the following sections, in the order provided below. Copies of all forms discussed in the following section are provided in this document.

- (1) **Application for Federal Assistance.** Use ED Form 424. The first page is the standard application face page on which you provide basic identifying information about the applicant and the application. Please note that the requirement for the employer identification number has been revised. Please indicate your D-U-N-S number. If you are unfamiliar with that number or how to obtain one, instructions are included in the package. Please include the e-mail address of the contact person, if available.
- (1) **Coversheet for the Smaller Learning Communities (SLC) program application package.** The second page of your application consists of the SLC cover page indicating the name and address of each school included in the application.
- (2) **Budget Form.** Use the enclosed ED Form 524 (Budget Information, Non-Construction Programs) to provide a complete budget summary **for each year of the project.**
- (3) **Program Abstract.** Begin with a one-page abstract summarizing the proposed Smaller Learning Communities project, including enrollment and eligibility data on each eligible high school, a short description of the project's objectives and activities in addition to participation in the research evaluation.
- (4) **Table of Contents.** Include a table of contents listing the parts of the narrative in the order of the selection criteria and the page numbers where the parts of the narrative are found. Be sure to number the pages.
- (5) **Program Narrative.** Applications should be no more than 35 double-spaced, standard-type pages, typed or word processed with twelve-point font. Describe how the applicant meets the competitive priority, if applicable. Describe fully the proposed project in light of the selection criteria in the order in which the criteria are listed in the application package. Do not simply paraphrase the criteria.
- (6) **Budget Narrative.** Please provide a brief but sufficient narrative that explains: (1) the basis for estimating the costs of professional personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any projected expenditures; (2) how the major cost items relate to the proposed activities; (3) the cost of evaluation; and (4) a detailed

description, as applicable, explaining in-kind support or funding provided by partners in the project.

- (7) **Compliance with General Education Provisions Act (GEPA), Section 427.** Include a section that describes how the program narrative (Part III) describes its compliance with GEPA's Section 427 – equitable access to and participation in federally assisted programs for students, teachers, and other program beneficiaries with special needs.
- (8) **Assurances and Certifications.** Each of the forms and assurances provided in this application package (4 total) must be completed and included in the application.
- (9) **Appendices.** Applicants must include baseline data on student outcomes for one year, as Appendix A. Applicants may also include supporting documentation as appendices to the narrative. This material should be concise and pertinent to the competition. Note that the Secretary considers only information contained in the application in ranking applications for funding consideration. Letters of support sent separately from the formal application package are not considered in the review by the peer review panels.

b. Application transmittal instructions

An application for an award may be submitted by regular mail or hand-delivered. Applications may not be faxed or sent electronically. Applications must be received or postmarked on or before the deadline for transmitting applications. No supplemental or revised information from applicants—including letters of recommendation or assurances mailed separately—will be accepted after the closing date, or after an application has been submitted. We encourage applicants to carefully review the procedures for submitting their materials. If you have questions, they should be directed to the Application Control Center at (202) 708-9493.

All applicants should submit one signed original and three additional copies of the entire application, beginning with the Cover Page (ED Form 424). Applicants should submit all copies of the application together in one package, to ensure that the Application Control Center does not log in the same application more than once. **Do not send your application, or copies of your application, to any other address within the Department of Education.**

APPLICATIONS SENT BY MAIL

Applications must be mailed to:

U.S. Department of Education
Application Control Center
Attention: CFDA 84.215L Special Competition
400 Maryland Avenue, S.W.
Washington, DC 20202-4260

(Be sure to include the correct alpha and numeric description, e.g. 84.215L.)

An application must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If the documents are sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office. An applicant is encouraged to use registered or at least first-class mail. Each late applicant will be notified that its application will not be considered.

Note: Due to the possibility of irregular mail delivery in the Washington area, we strongly encourage applicants to use alternatives to regular mail to submit applications.

APPLICATIONS DELIVERED BY HAND/COURIER SERVICE

An application that is hand delivered must be taken to:

U.S. Department of Education, Application Control Center
Potomac Center Plaza, Room 7066
550 12th Street, SW
Washington, DC 20202-4260.

The Application Control Center will accept deliveries between 8:00 a.m. and 4:00 p.m. (Eastern standard time) daily, except Saturdays, Sundays, and Federal holidays. Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building. In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

All applicants submitting applications in a timely manner will receive a Grant Application Receipt Acknowledgment. If you fail to receive a notification of application receipt within thirty (30) days from the closing date, call the Application Control Center at (202) 245-6288.

c. Intergovernmental Review of Federal Programs

Intergovernmental review applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this package.

In States that have not established a process or chosen a program for review, State, area wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:

The Secretary
Re: EO 12372
U.S. Department of Education
Room 7W-100
400 Maryland Avenue, SW
Washington, DC 20202-0124.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION.

DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS!

Intergovernmental Review (SPOC List)

Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided below.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance.

<p><u>ARKANSAS</u></p> <p>Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7th St., Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 Fax: (501) 682-5206 tlcopeland@dfa.state.ar.us</p>	<p><u>CALIFORNIA</u></p> <p>Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 Fax: (916) 323-3018 state.clearinghouse@opr.ca.gov</p>
<p><u>DELAWARE</u></p> <p>Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway, 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 Fax: (302) 739-5661 chopkins@state.de.us</p>	<p><u>DISTRICT OF COLUMBIA</u></p> <p>Luisa Montero-Diaz Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 441 4th Street, NW, Suite 530 South Washington, DC 20001 Telephone: (202) 727-8900 Fax: (202) 727-1652 opgd.eom@dc.gov</p>
<p><u>FLORIDA</u></p> <p>Jasmin Raffington Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 Fax: (850) 414-0479 clearinghouse@dca.state.fl.us</p>	<p><u>GEORGIA</u></p> <p>Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 Fax: (404) 656-7901 gach@mail.opb.state.ga.us</p>

<p><u>ILLINOIS</u> Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 Fax (312) 814-8485 vbova@commerce.state.il.us</p>	<p>IOWA Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 Fax: (515) 242-4809 steve.mccann@ided.state.ia.us</p>
<p>KENTUCKY Ron Cook Department for Local Government 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 Fax: (502) 573-2512 ron.cook@mail.state.ky.us</p>	<p>MAINE Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 (207) 287-1461 (direct) Fax: (207) 287-6489 joyce.benson@state.me.us</p>
<p><u>MARYLAND</u> Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 West Preston Street - Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 Fax: (410) 767-4480 linda@mail.op.state.md.us</p>	<p>MICHIGAN Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 Fax: (313) 961-4869 pfaff@semcog.org</p>
<p>MISSISSIPPI Cathy Mallette Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 Fax: (601) 359-6758</p>	<p><u>MISSOURI</u> Angela Boessen Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 Fax: (573) 522-4395 igr@mail.oa.state.mo.us</p>

<p><u>NEVADA</u> Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 Fax: (775) 684-0260 helliott@govmail.state.nv.us</p>	<p><u>NEW HAMPSHIRE</u> Jeffrey H. Taylor Director New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2-1/2 Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 Fax: (603) 271-1728 jtaylor@osp.state.nh.us</p>
<p><u>NEW MEXICO</u> Ken Hughes Local Government Division Room 201 Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 Fax: (505) 827-4948 khughes@dfa.state.nm.us</p>	<p><u>NORTH CAROLINA</u> Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 Fax: (919) 733-9571 jeanette.furney@ncmail.net</p>
<p><u>NORTH DAKOTA</u> Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 Fax: (701) 328-2308 jboyd@state.nd.us</p>	<p><u>RHODE ISLAND</u> Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence, Rhode Island 02908-5870 Telephone: (401) 222-2093 Fax: (401) 222-2083 knelson@doa.state.ri.us</p>
<p><u>SOUTH CAROLINA</u> Omeagia Burgess Budget and Control Board Office of State Budget 1122 Ladies Street, 12th Floor Columbia, South Carolina 29201 Telephone: (803) 734-0494 Fax: (803) 734-0645 aburgess@budget.state.sc.us</p>	<p><u>TEXAS</u> Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 Fax: (512) 936-2681 dfrancis@governor.state.tx.us</p>

<p><u>UTAH</u></p> <p>Carolyn Wright Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol, Room 114 Salt Lake City, Utah 84114 Telephone: (801) 538-1535 Fax: (801) 538-1547 cwright@gov.state.ut.us</p>	<p>WEST VIRGINIA</p> <p>Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 Fax: (304) 558-3248 fcutlip@wvdo.org</p>
<p><u>WISCONSIN</u></p> <p>Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street - 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 Fax: (608) 267-6931 jeffrey.smith@doa.state.wi.us</p>	<p>AMERICAN SAMOA</p> <p>Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs Office of the Governor/Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com</p>
<p>GUAM</p> <p>Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 Fax: 011-472-2825 jer@ns.gov.gu</p>	<p>PUERTO RICO</p> <p>Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 Fax: (787) 722-6783</p>
<p>NORTH MARIANA ISLANDS</p> <p>Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 Fax: (670) 664-2272 omb.jseman@saipan.com</p>	<p>VIRGIN ISLANDS</p> <p>Ira Mills Director, Office of Management and Budget #41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 Fax: (340) 776-0069 lrmills@usvi.org</p>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the CFDA.

d. Estimated public reporting burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1830-0560. Expiration date: 03/31/2008.

The time required to complete this information collection is estimated to average 65 hours (sixty-five hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.)

If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Matthew Fitzpatrick, Office of Vocational and Adult Education, U.S. Department of Education, 550 12th Street, SW, room 11120, Washington, D.C. 20202-7241.

e. Notice: Necessity of Meeting Deadlines

IMPORTANT NOTICE

To Prospective Participants in U.S. Department of Education Contract and Grant Programs

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. **Prospective applicants can avoid disappointment if they understand that: failure to meet a deadline will mean that an applicant will be rejected without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the *Federal Register*. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) The instructions in the *Federal Register* must be followed exactly. **Do**

not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the Department are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation. Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal, which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

4. Non-regulatory Guidance

PURPOSE OF THESE GUIDELINES

The guidance in this document applies to the special competition being held under the Smaller Learning Communities programs, authorized by section 5441 of Part D of Title V of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 7249), as amended by the No Child Left Behind Act of 2001. Certain specific requirements explicated in this guidance are taken from the statute or the Notice inviting applications for the special competition, fiscal year (FY) 2004 and the Notice of final priorities, requirements, definitions, and selection criteria for the special competition, fiscal year (FY) 2004. All such requirements remain binding on grantees. These guidelines impose no additional requirements.

Looking at the SLC program

a. What is the purpose of the Smaller Learning Communities (SLC) program?

The Smaller Learning Communities program supports the development of small, safe and successful learning environments in large high schools. The goal is to ensure that all students graduate with the knowledge and skills necessary to make successful transitions to college and careers.

This program provides competitive grants to local educational agencies (LEAs), or to schools funded by the Bureau of Indian Affairs (BIA), to develop, implement, or expand smaller learning communities in their large high schools. The Department expects these strategies to:

- improve student achievement;
- increase the number of students mastering State content and performance standards;
- improve student attendance rates, graduation rates, and college enrollment rates;
- reduce the frequency of disciplinary actions; and
- create a safe, drug-free learning environment.

b. What is the purpose of the special competition?

The special competition awards funds to LEAs applying on behalf of schools that will, in addition to creating or expanding SLCs, participate in a national research evaluation of two supplemental reading programs.

Those programs are: *The Strategic Instruction Model* (SIM), from the University of Kansas (<http://www.kucrl.org/iei/sim/>) and *Reading Apprenticeship*, Strategic Literacy Initiative, WestEd (<http://www.wested.org/cs/sli/print/docs/sli/home.htm>).

The research evaluation will seek to answer three questions:

(1) Do specific supplemental literacy programs that support personalized and intensive instruction for striving ninth-grade readers significantly improve reading proficiency?

(2) What are the effects of supplemental reading programs on in-school outcomes such as attendance and course-taking behavior, and on longer-term outcomes such as student performance on State assessments in the tenth or eleventh grade?

(3) Which students benefit most from participation in the interventions?

c. Will there be a “regular” SLC competition this year, and in which competition should I submit an application?

There will be a “regular” SLC competition, later this spring. Priorities, Requirements, Definitions, and Selection Criteria for that competition were proposed in a notice in the *Federal Register* on February 25, 2005. Participation in that competition will not require multiple-school applications, or participation in the national research evaluation.

PLEASE NOTE: LEAs may apply on behalf of eligible schools in BOTH competitions. We strongly encourage interested and eligible LEAs to apply for this special competition AND the “regular” SLC competition.

Eligibility

d. Who is eligible to apply for an SLC grant?

Please see the complete eligibility requirements, beginning on page 11 of this application package.

e. How is “large” high school defined?

The Department has defined a large high school as one that: (a) includes grades 11 and 12; and (b) enrolls at least 1,000 students in grades 9 and above.

f. Who may submit the SLC grant application?

An LEA submits grant applications on behalf of two or four eligible high schools. Each high school in the application must meet the eligibility requirements of this program.

g. What is an “LEA?”

The Elementary and Secondary Education Act, Title IX, Part A, defines “local educational agency” in pertinent part, as a public board of education or other public authority legally constituted within a

State for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision. An LEA may be in a city, county, township, school district, or some other political subdivision of a State. An LEA may also be a combination of school districts that are recognized in a State for administering public elementary or secondary schools.

For the full definition of “LEA,” see 20 U.S.C. 8801 (18).

h. May public and private entities other than LEAs participate in this program?

The LEA, as the grantee, is the only authorized fiscal agent. However, applicants may form partnerships with other public or private agencies to plan or implement grant activities. Applicants must document the roles and responsibilities of all stakeholders that will be involved in the planning or implementation of grant activities.

i. Who can serve as the fiscal agent for the grant?

Only the LEA may serve as the fiscal agent for the grant.

j. Is an intermediate unit (e.g., a county office of education) eligible to apply for a grant?

Yes, if the intermediate unit is an LEA, has governing authority over high schools, and meets other eligibility requirements (please refer to question “d”).

k. Can charter schools apply?

Yes. Charter schools are generally either LEAs or public schools within an LEA. Charter schools that are both LEAs and meet the definition of a large high school may apply directly. Charter schools that are not LEAs but meet the definition of a large high school may not apply directly, but may be the subject of an LEA’s application.

l. Can private schools apply?

No. Under the statute authorizing smaller learning communities, only LEAs are eligible to apply for this grant. There is no provision in the statute for providing services to private school students. However, the Department encourages LEAs to share their knowledge of effective smaller learning communities with private school officials.

m. Can a school propose to use SLC funds to create a single academy even though it cannot serve all students?

No. Applicants are required to propose placing all students in a smaller learning community by the end of the fifth year of implementation.

n. If a school has more than 1,000 students but is housed in two separate campuses, can an LEA apply on its behalf?

Yes. An LEA may apply on behalf of such a school if the district recognizes it as one high school and it meets the other eligibility criteria.

o. Does it matter whether or not we have previously received an SLC grant?

No. Applications will be accepted on behalf of all eligible schools, no matter if:

- The school has never received an SLC grant;
- The school has previously received an SLC grant; or
- The school currently receives funding through an SLC grant.

Distribution and Use of Funds

p. What are the authorized activities for which Smaller Learning Communities funds may be used?

According to Section 5441 of Subpart 4 of Part D of Title V of the Elementary and Secondary Education Act of 1965 (USC 7249), as amended by the No Child Left Behind Act of 2001, funds from the Smaller Learning Communities program may be used for one or more of the following:

- a. to study the feasibility of creating the smaller learning community or communities as well as effective and innovative organizational and instructional strategies that will be used in the smaller learning community or communities;
- b. to research, develop and implement strategies for creating the smaller learning community or communities, as well as effective and innovative changes in curriculum and instruction, geared to high State content standards and State student academic achievement standards;
- c. to provide professional development for school staff in innovative teaching methods that challenge and engage students to be used in the smaller learning community or communities; and
- d. to develop and implement strategies to include parents, business representatives, local institutions of higher education, community-based organizations (including local non-profit, faith-based and other service organizations), and other community members in the smaller learning communities, as facilitators of activities that enable teachers to participate in professional development activities, as well as to provide links between students and their community.

q. How should an LEA distribute funds to the school(s) on whose behalf it submitted an SLC grant application?

The Department fully expects the large majority of the funds to be expended at the “school building level,” covering the activities, services and purchases identified in the application as occurring at the school-level.

r. How long are the grant funds available to the LEAs?

Grants will fund activities up to sixty (60) months.

s. Since funding is available for a five-year period, are there any limits on when the money can be spent?

The Department requires applicants to submit a detailed yearly budget as part of a complete application. Through GAPS, the Department of Education’s Grants and Payments System, the Department will monitor grantees’ spending activities. Grantees whose spending diverges from the plan outlined in their application will be required to explain any discrepancies and risk losing funds as will grantees that are not in compliance with GAPS regulations for drawing down and spending money.

t. What percentage of total grant funds may an LEA set aside to cover its administrative costs?

The statute for the Smaller Learning Communities program does not establish a specific percentage that can be set aside to cover administrative costs. However, in keeping with the applicable cost principles, any set-aside must be “necessary and reasonable” for the proper and efficient administration of the SLC program.

u. May SLC funds be used to construct or purchase new facilities?

Funds may not be used to construct or purchase facilities (34 CFR 75.553).

Grant funds may be used to:

- complete minor renovations (although grantees will need prior approval from the Department’s SLC program office),
- rent new facilities, and
- purchase equipment on a limited basis (see question “ff” for more information on limited equipment expenditures).

v. Grant funds can be used to cover “limited equipment” expenditures. What is the definition of “limited purchases?”

Although the Department has not specified an amount or percentage cap on equipment acquisitions with grant funds, applicants should be aware that grants awarded under this program are not to support large purchases of equipment--see the application guidelines. In addition, applicants should not propose spending plans for scheduled replacements or upgrades of equipment. Applicants may make modest equipment acquisitions with grant funds that enable them to establish a core infrastructure that can be used to seek additional and larger levels of equipment support from consortium members or from corporate donors or foundation sponsors.

w. Can SLC funds be used to purchase computers?

For the purposes of implementing the supplemental reading program, funds will be provided to cover costs related to technology or software.

For the broader SLC project, the use of grant funds to purchase computers is not prohibited, but the Department encourages applicants to limit hardware costs because the intent of the program is to create smaller, personalized learning environments for students.

x. Can SLC funds be used to hire teachers?

Yes. For participation in the national research evaluation, schools may use grant funds to pay salary and benefits for the full-time language arts or social studies teacher that will implement the supplemental reading program.

For the broader SLC project, the Department encourages schools to avoid relying on temporary SLC funds to meet staffing needs. Applications must demonstrate the ability to sustain proposed SLCs at the end of the grant period. LEAs relying on SLC funds to pay teacher salaries seem unlikely to meet this goal.

y. May a grantee use SLC funds to reimburse a proposal-writing firm or a consultant for developing an application?

No. A grantee may not use SLC grant funds to cover the cost of proposal development. SLC funds may only be used for costs that are necessary and reasonable for the proper and efficient performance and administration of the SLC program.

z. If a grantee had already begun plans for developing or implementing small school structures, may SLC funds be used to reimburse the grantee for costs that were incurred prior to the date it was notified that it would receive SLC funds?

Yes. As authorized in EDGAR Part 74.25, recipients may use award funds to reimburse for pre-award costs incurred 90 calendar days prior to award. All pre-award costs are incurred at the recipient's risk.

aa. How does the Department expect grantees to continue implementing smaller learning communities once SLC funds have expired?

The Department recognizes that there are costs associated with restructuring schools into smaller learning communities. Therefore, Smaller Learning Communities funds are start-up funds that allow schools to plan, implement, or expand smaller learning communities. Schools are required to determine how they will sustain smaller learning communities beyond the life of their grants. The Department expects that schools will use local, State, and other Federal funds to support smaller learning communities during and after the project period of this grant.

Data Collection

bb. What types of activities will be expected of grantees for evaluation of the broader SLC project?

Grant recipients will be required to support an evaluation of the broader SLC project that will provide information to the project director and school personnel that will be useful in gauging their progress and in identifying areas for improvement. Each evaluation must include an annual report for each of the five years of the project period and a final report that will be completed at the end of the fifth year of implementation. We require that grantees submit each of these reports to the Department.

In addition, the Secretary requires that the evaluation be conducted by an independent third party whose role in the project is limited to conducting the evaluation.

This evaluation of the broader SLC project, should not be confused with the national research evaluation of the supplemental reading programs, which will be conducted by MDRC and AIR, with the support of the U.S. Department of Education.

cc. What types of data will grantees be required to collect and submit annually?

Grantees will submit an annual program performance report addressing the following performance indicators.

Performance Indicators

The Secretary requires applicants to identify in their application specific performance indicators and annual performance objectives for each of these indicators. Specifically, applicants are required to use the following performance indicators to measure the progress of each school:

(1) The percentage of students who score at the proficient and advanced levels on the mathematics assessments used by the State to measure adequate yearly progress under part A of title I of the ESEA, as well as these percentages disaggregated by the following subgroups:

- (A) Major racial and ethnic groups;
- (B) Students with disabilities;
- (C) Students with limited English proficiency; and
- (D) Economically disadvantaged students.

(2) At least two other appropriate indicators the LEA identifies, such as rates of average daily attendance, year-to-year retention, achievement and gains in English proficiency of limited English proficient students; incidence of school violence, drug and alcohol use, and disciplinary actions; or the percentage of students completing advanced placement courses or passing advanced placement tests.

Applicants must identify annual performance objectives for each indicator in their application.

dd. How can I obtain a DUNS number?

If you are currently participating in Department of Education programs, the Department has already obtained a DUNS number for all grantees and payees. If you did not receive the DUNS number in the mail, they can be obtained at no charge by calling 1-800-333-0505, or by completing the DUNS Number Request Form that is accessible via the Internet at <http://www.dnb.com/aboutdb/dunsform.htm>.

The Research Study Design

ee. How will the supplemental reading programs be assigned to the participating schools?

Once a school district has been selected for a special SLC grant from OVAE, each funded high school will be assigned one of the two supplemental literacy programs. The assignment will be made using a lottery-like process and will ensure that each literacy program is evenly represented in each participating district. In other words, if a district applies for special SLC grants on behalf of four high schools, the Reading Apprenticeship program would be assigned to two of the high schools and the Strategic Instruction Model would be assigned to the other two schools. Districts and schools will not have a choice about which literacy program will be implemented in which schools. An important goal of the study is to learn about the effectiveness of these two approaches to literacy instruction *independent* of the process that may be used to match a particular program with a particular school. Thus, assignment by lottery or random draw will ensure that each school has the same chance to receive the services of each literacy program.

ff. Can all 50 students take the supplemental reading program in one big class?

No. The supplemental reading programs are designed for delivery in smaller sections. Applicants should plan to implement four sections, for 12-15 ninth graders each.

gg. Who should teach the supplemental reading program?

The teacher chosen to teach this class should be an English/language arts, or social studies teacher. This teacher should be someone interested in learning and applying new pedagogical methods in the context of a high quality literacy program. The teacher must be willing to commit to leading this program for two years – 2005-06 and 2006-07.

This will be a full time position. The teacher will be responsible for teaching the supplemental reading class to four sections of 12-15 ninth graders each (about 4/5 of their time commitment) and spending the equivalent of one period supporting implementation and research activities (about 1/5 of their time commitment). The position would also require that the teacher be available to attend the Summer Training Institute in the first or second week of August 2005.

hh. How will the study measure the “impact” of the supplemental reading programs?

Impacts on student reading achievement will be measured by comparing the achievement of students who are selected to enroll in the supplemental literacy classes with the achievement of similar students who are not selected to enroll.

The Institute of Education Sciences at the U.S. Department of Education convened an expert panel of researchers to seek advice about how best to measure the impacts of instructional programs like the supplemental literacy programs. The advisory panel concurred that the most rigorous method for identifying truly comparable groups of students was to use a random assignment study design, in which eligible students are assigned by a lottery-like process to either a literacy class or a control group that does not enroll in the literacy class.

With this methodology, the two groups of students start out as truly comparable, on average, in terms of background characteristics and predispositions toward reading and reading instruction, because students are designated as “program students” at random (to enroll in the supplemental literacy classes). Thus, subsequent differences between the program group and the control group can be attributed confidently to the fact that one group was exposed to the classes and one group was not.

ii. How might random assignment of students work?

The specific procedures for random assignment must be adapted to fit local conditions and circumstances. In general, however, the random assignment process would include the following elements:

- Participating schools would first identify approximately 125 to 150 students that have 8th grade reading test scores that are between two and four years below grade level.
- These eligible students will be asked to have their parents sign a consent form giving permission for their child to participate in the program and the study. These students will also be asked to complete a short questionnaire.
- Eligible students who have received parental consent would then complete a reading assessment to measure various reading skills for the beginning of the study.
- Finally, using a lottery-like process, the students would be assigned to one of two groups: (1) a group of students that would enroll in the supplemental literacy class at their high school or (2) a group of students that would continue in their scheduled elective class or study hall (control group).

The ERO study team will work closely with the literacy teacher and other school personnel to ensure that this process is both fair and transparent for students and their parents. MDRC, the lead partner for the ERO study team, has conducted over 30 studies involving over 250,000 individuals using this type of random assignment process.

5. Supporting Documents

a. Federal Legislation: No Child Left Behind Act of 2001, Title V, Part D

SEC. 5441. SMALLER LEARNING COMMUNITIES.

(a) **GRANT AUTHORITY-** The Secretary is authorized to award grants to local educational agencies to enable the agencies to create a smaller learning community or communities.

(b) **APPLICATION-** Each local educational agency desiring a grant under this subpart shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may require. The application shall include descriptions of the following:

- (1) Strategies and methods the local educational agency will use to create the smaller learning community or communities.
- (2) Curriculum and instructional practices, including any particular themes or emphases, to be used in the smaller learning environment.
- (3) The extent of involvement of teachers and other school personnel in investigating, designing, implementing, and sustaining the smaller learning community or communities.
- (4) The process to be used for involving students, parents, and other stakeholders in the development and implementation of the smaller learning community or communities.
- (5) Any cooperation or collaboration among community agencies, organizations, businesses, and others to develop or implement a plan to create the smaller learning community or communities.
- (6) The training and professional development activities that will be offered to teachers and others involved in the activities assisted under this subpart.
- (7) The objectives of the activities assisted under this subpart, including a description of how such activities will better enable all students to reach challenging State academic content standards and State student academic achievement standards.
- (8) The methods by which the local educational agency will assess progress in meeting the objectives described in paragraph (7).
- (9) If the smaller learning community or communities exist as a school-within-a-school, the relationship, including governance and administration, of the smaller learning community to the remainder of the school.
- (10) The administrative and managerial relationship between the local educational agency and the smaller learning community or communities, including how such agency will demonstrate a commitment to the continuity of the smaller learning community or communities (including the continuity of student and teacher assignment to a particular learning community).
- (11) How the local educational agency will coordinate or use funds provided under this subpart with other funds provided under this Act or other Federal laws.
- (12) The grade levels or ages of students who will participate in the smaller learning community or communities.

(13) The method of placing students in the smaller learning community or communities, such that students are not placed according to ability or any other measure, but are placed at random or by their own choice, and not pursuant to testing or other judgments.

(c) **AUTHORIZED ACTIVITIES-** Funds under this section may be used for one or more of the following:

(1) To study—

(A) the feasibility of creating the smaller learning community or communities; and

(B) effective and innovative organizational and instructional strategies that will be used in the smaller learning community or communities.

(2) To research, develop, and implement—

(A) strategies for creating the smaller learning community or communities; and

(B) strategies for effective and innovative changes in curriculum and instruction, geared to challenging State academic content standards and State student academic achievement standards.

(3) To provide professional development for school staff in innovative teaching methods that—

(A) challenge and engage students; and

(B) will be used in the smaller learning community or communities.

(4) To develop and implement strategies to include parents, business representatives, local institutions of higher education, community-based organizations, and other community members in the smaller learning communities as facilitators of activities that enable teachers to participate in professional development activities and provide links between students and their community.

6. The Supplemental Reading Programs

Included on the following pages are informational brochures on the supplemental reading programs to be evaluated through this national research evaluation.

All information provided and claims made in these brochures are by the vendors that have developed and sell these reading programs. No endorsement by the U.S. Department of Education of any product, commodity, service or enterprise in these papers is intended or should be inferred.

Strategic Instruction Model Adolescent Literacy Program

More than 8 million adolescents have failed to master the literacy skills they need to succeed in school or compete for jobs. The SIM Adolescent Literacy Program, a powerful, research-proven framework for effective literacy instruction, provides the solid base of skills these students need to become proficient readers and writers. The program, encompassing all of the essential ingredients embodied in proficient reading and writing, helps students build a repertoire of strategies and skills to approach the difficult demands of secondary school.

The SIM Adolescent Literacy Program involves two main reading components: a reading instruction core that helps students develop accurate word recognition and increased fluency and a linguistic comprehension instruction core that teaches the skills and strategies needed to bring meaning to reading.

The program also includes instruction in writing strategies. Not only do students learn to read a variety of text structures (e.g., sequence, description, compare and contrast, cause and effect, problem/solution) using several

related and mutually supportive strategies, but they also learn to write those text structures.

All instruction is provided in an environment that promotes and motivates learning.

Supports are in place to focus student behavior and attention on relevant academic work. The social skills to be used in cooperative groups or partnership activities are taught explicitly, and students participate in the Possible Selves Program, in which they analyze their current lives and then set and work toward goals to enhance their future lives.

Essentials for proficient reading

- Alphabetics and phonics skills
- Fluency skills
- Advanced decoding strategies
- Vocabulary knowledge
- Comprehension strategies
- Metacognitive skills (thinking and problem solving)



In the SIM classroom

The SIM Adolescent Literacy Program is a structured year-long course that allows for highly individualized instruction in targeted strategies as well as large-group activities. Depending on the needs of students, instruction involves both teacher-led whole-group discussions and guided-practice activities, as well as lessons in which students work independently at stations set up throughout the classroom. Station activities might include the following:

- At one station, the teacher may meet with one student to measure his or her progress while a pair of students practice a targeted reading strategy aloud.
- At a second station, students work individually at computers using the interactive hypermedia programs that support reading instruction.
- At a third station, pairs of students engage in fluency activities.
- At a fourth station, students design memory aids and study cards for vocabulary words and test each other over the words.
- At a fifth station, students practice a strategy independently, take a test, or complete another activity related to integrating several strategies simultaneously, adapting a strategy, or applying a strategy to subject-area assignments.

All instruction involves high-interest reading materials that have been chosen to ensure that they engage students and address their academic needs.

Progress measures are gathered as part of instruction for each strategy. These data allow



the teacher to make decisions with regard to when a student has mastered a strategy. Scores for each practice session are plotted on a progress chart graph, and the student and teacher discuss the student's progress and goals for future practice attempts.

Expected outcomes

Students who complete the SIM Adolescent Literacy Program will have the reading and writing skills needed to respond to the demands of challenging required courses in high school. They will be more likely to complete those courses successfully, pass minimal competency tests, and graduate from high school, ready and able to enroll and succeed in future education and training opportunities.

Learn more at these web sites

- www.kucrl.org/literacy
- www.instructionalcoach.org

Content

Motivation and behavior. Students learn how they are expected to act in the classroom and how to create a productive learning community. Instruction includes teaching a repertoire of appropriate behaviors for such classroom situations as lecture/discussions, independent work, and small group work.

Advanced phonics and decoding. Students learn a strategy specifically designed for decoding multisyllabic words. Other instruction is individualized to meet students' needs.

Fluency. The Fluency Program involves explicitly teaching and modeling for students how to read fluently. Students repeatedly read passages aloud with partners and track the number of words read accurately per minute.

Vocabulary. Students learn several memory strategies designed to help them identify vocabulary words and learn and remember the meaning of those words.

Comprehension. Students learn to use the foundational reading comprehension strategies of imagery, summarization, prediction, questioning, and monitoring.

Thinking and problem solving. All of the instructional programs associated with the SIM Adolescent Literacy Program contain elements that promote independent thinking and problem solving, including steps related to monitoring whether responses make sense, checking for understanding, and correcting errors.

Technology. Interactive hypermedia instructional programs augment SIM strategy instruction. Some of the programs provide additional instruction and practice, others teach students such skills as how to use spellcheckers.

Writing. Two SIM writing strategies—the Paragraph Writing Strategy and the Theme Writing Strategy—are closely aligned with reading instruction. Both focus on a process-writing approach in which students learn how to plan, write, provide or accept feedback on their writing, and edit their writing.

Supporting success

Educational change requires both high-quality teaching methods and materials and sustained professional development in the use of those tools. The staff of the University of Kansas Center for Research on Learning (KU-CRL) is prepared to foster success as your school implements the SIM Adolescent Literacy Program.

Members of KU-CRL's International Professional Development Network who are highly experienced in using and teaching others about SIM interventions will provide instruction and support to teacher participants during and after an intensive, five-day summer institute built on four principles:

1. **Model and incorporate instructional practices.** Institute leaders will model skills and procedures. Then, participants will have an opportunity to practice these skills and procedures.
2. **"Yeah But" problem solving.** Time and mechanisms will be built into each day's activities to allow concerns, objections, and "yeah buts" to surface, so solutions can be found.
3. **Individual planning and goal setting.** A small leader-to-participant ratio in the institute will allow ample time for individual meetings to address each participant's unique issues.
4. **Continuing learning.** All participants in the institute will have complete access to a host of support materials and systems offered by KU-CRL, including access to online chats, monthly newsletters on implementation suggestions, and use of videotapes, CDs, and print resources from KU-CRL's extensive professional development library. A certified professional developer will visit them to provide assistance and support.



Center for Research on Learning

University of Kansas
<http://www.kucrl.org>

WestEd's Strategic Literacy Initiative

Reading Apprenticeship Academic Literacy

In high school classrooms across the U.S., many students are profoundly inexperienced readers. They have never finished a book, they struggle with the structure and format of expository texts, they mispronounce words, they flounder with the complex sentences that fill their textbooks. They cannot make sense of the words and sentences on the pages they read. In short, they cannot use written materials to support their learning.



Reading Apprenticeship Academic Literacy re-engages students in reading and helps them develop the kind of advanced literacy required to become life-long learners and participants in an information-based society.

Course Content

Reading Apprenticeship Academic Literacy is a year-long course to accelerate 9th grade students' reading achievement and engagement. It was developed by researchers in the Strategic Literacy Initiative (SLI) at WestEd in collaboration with teachers. This course emphasizes developing a community of learners, readers, and writers for whom metacognition (i.e. thinking about one's thinking) plays a central role.

Reading Apprenticeship® integrates well-researched practices into a coherent instructional framework for adolescent learners. These research-based practices include:

- methods of engaging students in extensive reading
- integrating explicit teaching of comprehension strategies
- establishing relevance and making personal connections to reading materials and curriculum
- identifying and using a variety of text structures to support comprehension
- engaging in structural analysis of words and sentences
- supporting collaborative sense-making activities

Course Structure

This course uses the Reading Apprenticeship approach to help young people develop the knowledge, strategies, and dispositions they need to become more powerful readers of the academic materials they encounter in high school.

To help students transfer new skills and dispositions from this course to their high school curriculum, all learning is embedded in thematic curriculum units designed to appeal to young people:

Unit 1: Reading Self and Society: This unit explores issues including literacy and identity, literacy and power, how we read, and different kinds of reading "codes."

Unit 2: Reading Media: This unit is designed to help students begin to read critically for point of view, rhetorical stance and language, and other elements of writing.

Unit 3: Reading History: This unit explores a thematically-focused topic in history, making use of a variety of types of texts, and continuing students' attention on critical reading and writing in response to texts.



READING APPRENTICESHIP
Strategic Literacy Initiative

<http://www.wested.org/StrategicLiteracy>

Unit 4: Reading Science: This unit explores a thematically-focused topic in science. Student readings are varied in difficulty and genre as in the history unit.

All units incorporate computer and internet-based multimedia technology to support reading and writing activities. Weekly plans included in the Teacher's Guide include routines for:

- developing students' motivation and sense of empowerment in reading and writing
- teacher-supported, student-selected reading
- using classroom libraries
- explicit comprehension instruction, including repeated modeling and practice
- writing instruction for informal and structured writing assignments
- building reading fluency and stamina
- analyzing and using patterns in words and sentences
- expanding and elaborating vocabulary
- metacognitive reflection and conversation to support self-regulated learning

Teacher Training and Support

SLI Consultants will provide initial instruction and support through an intensive 5-day summer institute. In the institute, teachers gain first-hand experience, practice, and problem solving with the core instructional routines of the course. Teachers will also receive two days of follow-up training during each semester of the program. In addition, Consultants will confer with each teacher by phone and/or e-mail weekly in the first semester, then bi-weekly in the second semester.

Resources for teachers include:

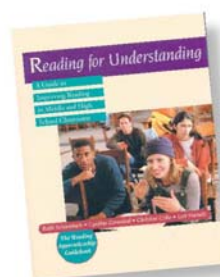
- a comprehensive Teachers' Guide
- three books describing core activities and providing readings for Unit 1 of the course
- an additional set of readings for Units 2, 3, and 4 of the course
- videotaped examples of Reading Apprenticeship classroom instruction
- access to an on-line teacher discussion group

Expected Outcomes

Based on studies carried out in a variety of schools across the country, students participating in the Reading Apprenticeship Academic Literacy Course will:

- read more and take more pleasure in reading
- have more confidence in their ability to make sense of what they read
- develop a range of strategies to support their reading comprehension
- be prepared for the challenging reading assigned in high school content-area classes
- make statistically significant gains on a standardized, norm-referenced test of reading comprehension

Training in Reading Apprenticeship provides teachers with metacognitive classroom routines for making the reasoning processes of skillful reading apparent to students. Students become self-regulated, active readers who can use a repertoire of strategies flexibly and appropriately.



**To learn more about Reading Apprenticeship please visit the SLI website:
<http://www.wested.org/StrategicLiteracy>**



READING APPRENTICESHIP
Strategic Literacy Initiative

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7. Required Forms and Assurances

Note: Copies of the standard forms shown from this page forward are available at the U.S. Department of Education's Web site at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

1. Application for Federal Assistance (ED Form 424)
2. SLC program grant application coversheet
3. Budget Information, Non-Construction Programs (ED Form 524)
4. General Education Provisions Act (GEPA), Section 427
5. Assurances: Non-Construction Programs (SF 424B)
6. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
7. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)
8. Disclosure of Lobbying Activities (Form LLL)
9. Survey on Ensuring Equal Opportunity

a. Application Cover Page (ED 424)

Application for Federal U.S. Education Assistance (ED 424)



Department of Education

Form Approved
OMB No. 1890-0017
Exp. OMB Approved

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|

3. Applicant's T-I-N |_|_|_| - |_|_|_|_|_|_|_|_|_|_|_|_|

4. Catalog of Federal Domestic Assistance #: **84.** |_|_|_|_|_|_|_|_|_|_|

Title: _____

5. Project Director: _____

Address: _____

City _____ State _____ Zip code + 4 _____
Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

6. Novice Applicant ☐ Yes ☐ No

7. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) |____/

A - State F - Independent School District
B - Local G - Public College or University
C - Special District H - Private, Non-profit College or University
D - Indian Tribe I - Non-profit Organization
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): _____

9. State Application Identifier _____

Application Information

10. Type of Submission:

-PreApplication *-Application*
☐ Construction ☐ Construction
☐ Non-Construction ☐ Non-Construction

11. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372
process for review): ____/____/____

☐ No (If "No," check appropriate box below.)

☐ Program is not covered by E.O. 12372.
☐ Program has not been selected by State for review.

12. Proposed Project Dates: ____/____/____ - ____/____/____

Start Date:

End Date:

13. Are any research activities involving human subjects planned at
any time during the proposed project period?
☐ Yes (Go to 13a.) ☐ No (Go to item 14.)

13a. Are **all** the research activities proposed designated to be
exempt from the regulations?

☐ Yes (Provide Exemption(s) #): _____

☐ No (Provide Assurance #): _____

14. Descriptive Title of Applicant's Project:

Estimated Funding

15a. Federal \$ _____ . 00

b. Applicant \$ _____ . 00

c. State \$ _____ . 00

d. Local \$ _____ . 00

e. Other \$ _____ . 00

f. Program Income \$ _____ . 00

Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.) _____

b. Title: _____

c. Tel. #: () _____ - _____ Fax #: () _____ - _____

\$ _____ . 00

e. Signature of Authorized Representative

_____ Date: __/__/__

Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **State Application Identifier.** State use only (if applicable).
10. **Type of Submission.** See "Definitions for Form ED 424" attached.
11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).

13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

- 13a. **If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

- 13a. **If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

- 13a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

- 14. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- 15. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 16. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address

of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate*

plan whose purpose is to develop or contribute to generalizable knowledge it is research. Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 13 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 13 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 13 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

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b. SLC Program Grant Application Coversheet

Coversheet

Smaller Learning Communities (SLC) Program

***SPECIAL COMPETITION:
Enhanced Reading Opportunities***

Grant Application Package

1. LEA Name and Address:

NCES District ID (for help, please see <http://www.nces.ed.gov/globallocator>):

2. Name and Address of Each School Named in the Accompanying SLC Application:
(Must include two or four schools)

Name	Address	No. of students enrolled
1.		
2.		
3.		
4.		

c. Budget Information, Non-Construction Programs (ED 524)



U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1890-0004
Expiration Date: 10-31-2007

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY : U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☐ Yes ☐ No
- (2) If yes, please provide the following information:
Period Covered by the Indirect Cost Rate Agreement: From: ___/___/___ To: ___/___/___ (mm/dd/yyyy)
Approving Federal agency: ☐ ED ☐ Other (please specify): _____
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
☐ Is included in your approved Indirect Cost Rate Agreement? or ☐ Complies with 34 CFR 76.564(c)(2)?

Name of Institution/Organization		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						
SECTION C – BUDGET NARRATIVE (see instructions)						

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other,” specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for

each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a

project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

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**d. Notice: General Education Provisions Act (GEPA), Section 427:
Equitable Access and Participation**

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Smaller Learning Community Grant Program

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.

e. Assurances: Non-Construction Programs (SF 424B)

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

f. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)

CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**g. Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion — Lower Tier Covered Transactions (ED 80-0014)**

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled A Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ³ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

h. Disclosure of Lobbying Activities (Form LLL)

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application _____ b. initial award c. post-award	3. Report Type: a. initial filing _____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: _____ Prime _____ Subawardee Tier _____, if Known: Congressional District, if known:	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
7. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503



Survey on Ensuring Equal
Opportunity
FOR APPLICANTS

Do not enter information below unless instructed to do so.

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

Instructions for Submitting Survey

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? (*Check only one box*).

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-14 ☐ over 100

3. What is the size of the applicant's annual budget? (*Check only one box.*)

☐ Less Than \$150,000
☐ \$150,000 - \$299,999
☐ \$300,000 - \$499,999
☐ \$500,000 - \$999,999
☐ \$1,000,000 - \$4,999,999
☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes ☐ No

5. Is the applicant a non-religious community-based organization?

☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicant

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.